

Georgia Department of Community Affairs  
Office of Affordable Housing  
Instructions for Completing the 2005 Pre-Application Compliance Scoring

<b>TAB V COMPLIANCE SUMMARY AND TAB VI COMPLIANCE SELF SCORE FORM</b>
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DO NOT ATTEMPT TO COPY THE WHOLE COMPLIANCE SUMMARY TAB OR THE WHOLE COMPLIANCE SELF-SCORE TAB FROM ONE PROJECT'S SPREADSHEET TO ANOTHER PROJECT'S SPREADSHEET AT ONCE. MASSIVE PROBLEMS RESULT BECAUSE EACH IS "TIED" TO ITS OWN EXCEL WORKBOOK. INDIVIDUAL GREEN CELLS OR SETS OF CONTIGUOUS GREEN CELLS MAY BE COPIED, AS LONG AS NO LOCKED (NON-GREEN) CELLS ARE COPIED WITH IT. IF YOU HAVE QUESTIONS, CONTACT JOY FITZGERALD IMMEDIATELY.

NOTE: If you require clarification of any of the Compliance Instructions detailed in the remainder of this document, please contact Nan Maddux at DCA via email at: [nmaddux@dca.state.ga.us](mailto:nmaddux@dca.state.ga.us)

***Carefully read the instructions before attempting to complete the Compliance Summary and the Compliance Self Score Form. Failure to complete the Compliance Summary and the Compliance Self-Score Form in strict accordance with these instructions may result in denial of participation in the 2005 funding round. Failure to disclose participation in a project, sources of funding at a project, or compliance violations may result in denial of participation in the 2005 Round. Make sure that all Compliance Summaries, Compliance Self Score Forms and required documentation are inserted in the proper order in the application binder as appropriate (refer to the Application Checklist). The Compliance Summary form is located in the same Excel workbook document as the OAH 2005-100 Core Application Form, in a separate worksheet (40 copies are included). Applicants may make extra copies of the printed/paper version of Compliance Summary Form as needed to cover development team members. If compliance is not submitted on the DCA Compliance Summary form in the DCA-protected electronic 2005-100 Core Application it will not be reviewed.***

**I. Compliance Summary Exemptions**

All projects the ownership entity (including all of its members) has been involved within the last 3 years (2002, 2003, 2004) must be reported in the Compliance Summary.

Compliance Summary Forms are required to be included in the Application Package for all members of the development team. For the purposes of the Compliance Summary, the Development Team is defined as the owner/general partner(s), developer, syndicator (limited partner), the CHDO development consultant, if any, and the property manager.

**II. Compliance Summary**

(page 72 of OAH 2005-100 Core Application, see form J-2 for reference)

The following numbered instructions correspond to the numbers on Compliance Summary Attachment in the electronic final application. Detailed instructions are provided for every part of the Compliance Summary. Do not attempt to complete the Compliance Summary Attachment without carefully reading these directions. Complete the electronic version of the form – do not print out a blank form and complete it manually. ***Failure to complete the Compliance Summary Attachment portion of this application, in strict accordance with these instructions, may result in denial of participation in the 2005 funding round.***

**1. Entity Name For This Compliance Summary:**

Separate Compliance Summary Attachments are required for each member of the Development Team. Enter the legal name of the Development Team member for which this Compliance Summary Attachment applies.

**2. Entity Type:**

Indicate the applicable classification by selecting from the options provided in the drop-down box. If the Entity is a partnership, a Compliance Summary Attachment for the partnership and for each partner must be submitted.

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**3. Entity's Role in Proposed Project:**

Indicate one or more proposed roles, as applicable, from the five options by entering an "X" in the corresponding box, or boxes. If the CHDO Development Consultant box is checked, a copy of an executed contract with the CHDO Development Consultant for the proposed project must be included as the last document attached to this Compliance Summary Attachment. Include a coversheet clearly labeled "CHDO Development Consultant Contract."

**4. Exhibit #:**

For each audit conducted within 3 years of the Application submission deadline ("3-year period" - 2002, 2003, 2004), enter an exhibit number referencing the attached documentation in this column. The first exhibit number for each Compliance Summary form must be numbered "F-1" followed by "F-2", F-3, etc. *However, if the same property was audited more than once by the same agency within the 3-year period, the exhibit number for the first audit of that project should be "F-1a" (or "F-2a", "F-3a", etc.), and the second audit of the same property by the same agency should be "F-1b" (or "F2b", "F3b", etc.)* Full details of each audit must be submitted (including copies of all IRS Form 8823s, FDIC findings, HOME findings, etc., and related correspondence) with the appropriate exhibit number noted in the upper right corner of each audit documentation package. Each audit documentation package (i.e. exhibit) should be bound together by stapling or other similarly effective means. All exhibits relating to this Compliance Summary must then be attached to the back of the Compliance Summary Attachment(s).

**5. Development Name:**

Indicate the Development Name, Address, City, State, and Tax Credit ID Number for each project that the Entity has participated in within the last 3 years (2002, 2003, 2004) involving Low Income Housing Tax Credits, HOME loans or grants, FDIC funding, USDA/Farmers Home Administration funding, Section 8 project-based funding, or similar funding involving moderate, low, or very low income housing. All projects the ownership entity (including all of its members) has been involved within the last 3 years (2002, 2003, 2004) must be reported in the Compliance Summary. Provide the name and Federal Tax ID Number of the Limited Partnership involved in the development. Also, indicate whether the project involved new construction or the rehabilitation of existing structures (or both).

**6. Past Role Codes:**

For each project reported on the Compliance Summary Attachment (per "Development Name" instructions above), indicate the Entity's role(s) in the project. Do so by entering in this column the appropriate code from the options below:

Past Role in Project	Past Role Code
Owner/General Partner	O/GP
Developer	D
Syndicator/Limited Partner	S/LP
CHDO Development Consultant	CC
Property Manager	P

**7. Participation Period:**

Indicate only the period of time the entity participated in the project. Enter the applicable dates adjacent to the role code(s) entered in the "Past Role Code."

**8. Unit Count:**

Indicate the number of units in the development designated for each of the 3 category options under "Unit Count." Note that the "Low Income" box should include moderate, low, or very low income units provided as part of a state or federal grant or loan agreement.

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**9. Financing Sources:**

List the agency(s) providing financing and the related state or federal program(s). Please use the abbreviation guidelines presented in the table below for agency names. Grant/loan programs may be abbreviated using generally accepted abbreviations or other readily discernable abbreviations such as "LIHTC" for Tax Credits and "Sec8" for Section 8 project based assistance. Failure to disclose Financing Sources may result in denial of participation in the 2005 Funding Round.

<b>Agency Name</b>	<b>Abbreviation</b>
USDA / Farmers Home Administration	USDA
Housing and Urban Development	HUD
Internal Revenue Service	IRS
Federal Deposit Insurance Corporation	FDIC
Georgia Department of Community Affairs/ Georgia Housing Finance Authority	DCA
Other Housing Agencies	Use City and State abbreviations, and abbreviations such as "H" for Housing, "A", for Authority, etc.

**10. Current Occupancy %:**

Indicate the current occupancy rate of the developments listed. If the entity is not currently involved in the project, provide the occupancy rate at the time of entity's last involvement in the project.

**11. Auditing Agencies:**

Indicate the auditing agency (using the agency abbreviation guidelines above) for any audits conducted within the last three years involving Low Income Housing Tax Credits, HOME loans or grants, FDIC funding, or Farmers Home Administration funding. If no audits were conducted within the 3-year period indicate this by entering "None" in the first of the three (3) sections for the applicable project.

**12. Number of Audits:**

Indicate the total number of audits conducted by each agency for each development listed.

**13. Total Number of Units Audited:**

Indicate the total number of units audited by each agency for each development listed.

**14. Findings:**

If "None" is entered in the Auditing Agencies column, do not enter anything in this section. If any audits were conducted within the 3-year period (2002, 2003, 2004), indicate the type of non-compliance reported in the audits, if any, by entering an "X" in the appropriate box. If no instances of noncompliance were reported, enter an "X" in the "no findings" box. Note that if the finding involved a program for which a box is not provided do not enter an "X" in this section.

**15. Other:**

Enter an "X" in the appropriate box if the development: 1) is in or has been in foreclosure, 2) is in default, 3) has any pending lawsuits against the property, or 4) has been involved in any actions leading to debarment actions taken by any City, State or Federal agency. Refer to the exhibit presentation requirements for Findings and apply the same process to these "Other" circumstances using exhibit numbers "O-1", "O-2", etc. All "O" exhibits must follow all "F" exhibits for each Compliance Summary.

**NOTE: WHEN ALL COMPLIANCE SUMMARIES FOR THE PROJECT ARE COMPLETED, USE THE**

**"Page \_\_\_\_ of \_\_\_\_"**

**AREA IN THE UPPER RIGHT-HAND CORNER OF EACH PRINTED-OUT FORM TO INDICATE THE TOTAL NUMBER OF COMPLIANCE SUMMARY FORMS USED AND THE ASSIGNED NUMBER OF EACH FORM.**

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**16. Pre-Application:**

Entities who received a Pre-Application Scoring Certificate in 2003 or 2004 should complete the following:

- a) Attach copies of the 2003 and or 2004 Pre Application Scoring Certificates
- b) Update the Compliance History Sheet:
  - Remove all Audits prior to 2002
  - Add Audits that have occurred but are not listed from 2002 forward
  - Add properties that have been added to entities portfolio and note any audits that have taken place from the take over date or forward. Audits prior to 2002 should not be listed.
  - Complete a DCA Self Score Form
  - Attach required documentation to the Compliance History Summary Form (number exhibit attachments as required)

**III. Memorandum of Understanding**

The Georgia Department of Community Affairs (DCA) has entered into an agreement with Georgia District of the Internal Revenue Service (IRS) that will provide for the timely exchange of relevant information regarding the participants (excluding management companies) in the LIHTC program. This agreement is designed to provide a means of mutual cooperation that will result in the LIHTCs being more appropriately awarded, and will enable both the IRS and DCA to more effectively monitor and enforce the compliance requirements of the program.

***As a condition of application for an allocation of LIHTCs, all project participants (excluding management companies) may be asked at any time during the scoring process for a valid IRS Form 8821 and Tax Information Authorization, and must name DCA as the appointee to receive tax information.*** DCA will forward the Form to the IRS, thereby allowing the IRS to provide DCA with all IRS information pertaining to LIHTCs, including audit findings and assessments. The information provided by IRS under this agreement will be safeguarded by DCA to prevent improper disclosure, and DCA will take precautions to ensure that information is used solely for the purpose of LIHTC awards.

**Note that as a condition of this MOU, if DCA determines that an allocation for LIHTCs is obtained with false information, DCA must request that the IRS deny tax credits to the Applicant entity.** Also, the supplier of such false information, including the developer or owner, will be barred by DCA from program participation for a period of 3 years (2002, 2003, 2004) from the date the false information was discovered.

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**IV. Participant Compliance Self-Score Form**

(page 67 of OAH 2005-100 Core Application)

A Compliance Self Score Form must be completed by General Partner(s)/Owner(s), Developer(s), and the Management Company(-ies). The Compliance Evaluation and Scoring Process is explained in the Scoring Criteria Appendix of the Plan in the Compliance Status criterion. Only the last three (3) years of compliance history should be listed on the Compliance Self-Score Form (not the entire five (5) years of compliance history listed on the Compliance Summary form). The form is located on the Compliance Self Score Form tab in the OAH 2005-100 Core Application electronic workbook. The tab contains one form each for up to three (3) Owner/General Partners, three (3) Developers, and two (2) Management Companies. In order for the automated form to work properly, applicants must enter the Entity Name for each form to be used by a team member if it is not already entered. **Entity Name cells must be left empty on forms unused by a team member. Likewise, there must be an entry in the Entity Name box for each team member to be scored.**

A Project Totals section is provided at the end of the forms. To arrive at the Overall Compliance Factor, add the Compliance Factor for the Owner/General Partner, the Developer and the Management Company. Once the Overall Compliance Factor has been Determined, refer to the Compliance Scoring Table on page 18 of Appendix II of the Qualified Allocation Plan to Arrive at the Compliance Score. This is the score that should be listed as the Compliance Status Self-Score Value on the PROJECT SELECTION CRITERIA SELF SCORE FORM on Page 17 of the Application. The electronic version should do much of this and then feed directly in. **An abbreviated copy is provided below for your review. Applicants must use the electronic version provided with the electronic OAH 2005-100 Core Application Form for data entry purposes.**

**NOTE: When each participant completes the Compliance Self Score Forms, use the "Page \_\_\_\_ of \_\_\_\_" area in the upper right-hand corner of each printed/paper copy of the form to indicated the number of scoring forms used.**

**NOTE:** If you require clarification of any of the Compliance Instructions detailed in this document, please contact Nan Maddux at DCA via email at: [nmaddux@dca.state.ga.us](mailto:nmaddux@dca.state.ga.us)

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**2005 PARTICIPANT COMPLIANCE SELF SCORE FORM**  
(Attach to Compliance Summary)

Entity Name For This Score Sheet:

THIS FORM FOR REVIEW PURPOSES ONLY – APPLICANTS MUST USE ELECTRONIC VERSION

Only the last three (3) years of Compliance Information are required to determine your Score.

Exhibit #	Property Name Tax Credit ID# Street Address City, State, Zip	Date of Audit	Total # Of Units	Assigned Numerical Value of Non-Compliance Or Finding (See Page 43 of Plan)	A. Comments		
		Total # of Units		Divided by Total Numerical Values		Equals Participant Compliance Factor	

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<b>TAB VII AUTHORIZATION FOR THE RELEASE OF INFORMATION</b>
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There are 15 copies of the form in this tab. This is one of the few parts of the electronic application workbook in which applicant can enter data in certain spaces that are not shaded green. Signature and Date spaces are still protected. Print this form and sign and date where indicated. Notarize signatures.

Please make copies of the Authorization for the Release of Information form and complete five (5) originals for each entity requesting a Pre-Application Compliance Score. Place all completed originals where indicated in the application binder of the original Application Package.